



DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
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WASHINGTON DC 20350-2000

OPNAVINST 5420.117A
N9
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OPNAV INSTRUCTION 5420.117A

From: Chief of Naval Operations

Subj: RESOURCES AND REQUIREMENTS REVIEW BOARD AND NAVAL
CAPABILITIES BOARD

Ref: (a) SECNAVINST 5000.2F
(b) DoD Instruction 5000.02 of 23 January 2020
(c) Joint Capabilities Integration and Development System (JCIDS) Manual of
31 August 2018
(d) OPNAVINST 5000.53A

Encl: (1) Resources and Requirements Review Board Membership
(2) Naval Capabilities Board Membership

1. Purpose. To define the Resources and Requirements Review Board (R3B) as the three- and four-star decision forum and the Naval Capabilities Board (NCB) as the two-star decision forum per reference (a), in support of the Department of the Navy Gate Review Process and the Planning, Programming, Budgeting and Execution (PPBE) process. This instruction has been updated from OPNAVINST 5420.117 to reflect changes in the organizational structure of the Office of the Chief of Naval Operations (OPNAV) staff.

2. Cancellation. OPNAVINST 5420.117.

3. Applicability. The provisions of this instruction are applicable to the staff of OPNAV and organizations listed as principal or advisory R3B or NCB members in enclosures (1) and (2).

4. R3B and NCB Description

a. Board Definition. The R3B and NCB constitute the approval authority for Navy requirements and are collectively referred to as the "Board" throughout this instruction. The Board constitutes the Navy's forum to validate warfighting requirements and to approve materiel solutions to fill those requirements. The Board process is comprehensive, grounded upon warfighting applicability in the context of analytically-informed assessments, capability evolution plans, total program cost and program value versus competing capabilities. Once a materiel solution is approved by the Board, actual resourcing is via the PPBE and program objective memorandum (POM) processes.

b. Board Composition. Principal stakeholders of the R3B and NCB are the program sponsors and resource sponsors. As defined in reference (a), the program sponsor acts as the warfighter representative and provides explicit direction with regard to mission and operational requirements generation and changes, program funding and preparation and approval of necessary program documentation and program decision point information. The program sponsor drafts and staffs capabilities-based assessments, initial capabilities documents (ICD), capability development document (CDD), CDD updates and non-acquisition category (ACAT) requirements documents. Program sponsors often have dual responsibility on the OPNAV staff as resource sponsors. The resource sponsor is responsible for program budget development, submission and management and for specific appropriation categories.

c. Board Types

(1) The R3B will review ACAT I, IA and Major Automated Information System programs; Office of the Secretary of Defense interest items; requirements documents with a joint staffing designator of Joint Requirements Oversight Council interest or Joint Capabilities Board interest; and non-ACAT programs with costs greater than \$1.5 billion over the Future Years Defense Plan.

(2) The NCB will review new and existing requirements, programs or capabilities with a joint staffing designator of Joint Information and ACAT II-IV programs and non-ACAT programs between \$500 million and \$1.5 billion over the Future Years Defense Plan. The NCB will evaluate and approve the initiation of new capability requirements (e.g., capabilities-based assessments and ICDs) to ensure alignment with Navy objectives; proper scope and representative scenarios; proper study team and oversight group membership; and realistic funding options.

d. Board Categories

(1) Approval of Navy Requirements. Secretary of the Navy, Chief of Naval Operations (CNO), Vice Chief of Naval Operations (VCNO), and Deputy Chiefs of Naval Operations (DCNO) (echelon 1)-generated requirements based upon warfighting analysis, fleet coordination, external engagements and foreign partner support, including requirements generated via internal OPNAV processes (e.g., requirements evaluation teams).

(2) Navy Approval of JCIDS Requirements Documents. Reviews of requirements documents (e.g., ICDs, CDDs, CDD updates) per references (a) through (c).

(a) ICD review (gate 1), which validates the warfighting gap being pursued and whether the gap should move forward to requirements evaluation teams or traditional analysis of alternatives. If an analysis of alternatives, the gate 1 review will endorse the analysis of alternatives study plan and, if required, forward for higher level approval per references (b) and (c) and authorize the program to proceed to a materiel development decision.

(b) Review of analysis of alternatives results (gate 2) or requirements evaluation team results, which identifies potential materiel solutions by providing an analytic comparison of the operational effectiveness, suitability, risk and lifecycle cost (or total ownership cost (TOC)) of alternatives proposed during gate 1.

(c) Top level requirements review (pre-gate 3) which is for requirements being accelerated and validated via a requirements evaluation team or other equivalent analysis. This review enables senior Navy leadership to set specific top level requirements with which to engage industry for developing proposed solutions.

(d) Review of doctrine, organization, training, material, leadership, personnel, facilities and policy change recommendations.

(e) CDD review (gate 3) or CDD update review (gate 6), which identifies the materiel solution and approves key performance parameters or key systems attributes.

(3) Significant Adjustments to Programs of Record. Cost, schedule and performance adjustments to include key performance parameters, key systems attributes, capability objectives or inventory objectives.

(4) Resource Sponsor Adjustments. Includes shifts in resource sponsorship or any changes in lead-follow relationships between multiple resource sponsors.

e. Board Timing. The sponsor and program manager will align the Board with the POM cycle if there is a resourcing impact. This enables the program to best compete for funding without being disruptive to the overall POM development process. The sponsor and program manager will present the issue to the Board no later than the beginning of Phase II of the next POM process. Not being aligned is not disqualifying, instead, it requires the sponsor and program manager to coordinate with Director, Integrated Warfare (OPNAV N9I) on timing and process options and require the identification of lower value offsets from the appropriate portfolio coordinated with all stakeholders.

f. Board Approach. The Board values interoperable, adaptable materiel solutions that address a clear warfighting requirement gap or sustain a warfighting advantage over time. The principal responsibility of the Board is to validate, or for existing programs, re-validate, the requirement; approve the materiel solution (both capability and capacity); and approve the funding strategy, by year, as the input into the valuation-based PPBE process. Because program execution typically spans multiple years, programs will be regularly evaluated for enduring warfighting applicability versus requirement, programmatic health and return on investment versus other candidate solutions (e.g., during a gate review). The Board will review programs using the following criteria in subparagraphs 4f(1) through 4f(9), as a minimum.

(1) Warfighting Gap Analysis. In coordination with OPNAV N9I and Director, Assessments (OPNAV N81) and by leveraging available analysis, the program sponsor will describe the warfighting requirement and explain the gap being closed or the advantage being preserved by establishing a new program, continuing an existing program or adjusting the existing program (capability or capacity). This discussion will be within the context of the most recent warfighting threat overview, portfolio review and the most relevant operational and tactical level fighting concepts, including interoperability gap assessments that may result in new concepts and potential PPBE trade space. OPNAV N81 will report how a proposed program addresses capability gaps.

(2) Strategy Alignment. Program sponsors will articulate the program's relevancy to national, Department of Defense and Navy strategies and the program's alignment with POM guidance (e.g., Defense Planning Guidance and CNO Guidance).

(3) Future Fleet Architecture Analysis. Together with OPNAV N81 and OPNAV N9I, the program sponsor will detail how the proposed program or capability fits into the overarching future fleet architecture and the supporting relevant capability evolution plans. This should include competing programs that might be replaced or adjusted as a result of the proposed capability.

(4) Naval Operational Architecture Analysis. Together with DCNO, Information Warfare (CNO N2N6), OPNAV N9I will provide a coordinated evaluation of interoperability of the proposed program within the naval operational architecture analysis and alignment with established digital and data standards. If an existing program and if not already at the requisite level of interoperability, provide an assessment and recommendation regarding the feasibility or value of back-fitting the systems or platforms already in the inventory.

(5) TOC Analysis. Together with the program manager, the resource sponsor will provide the funding profile and estimated TOC of the program, to include research and development, sustainment (operations and sustainment) and applicable elements of personnel, equipment, supply, training, ordnance, networks and infrastructure. Also included will be a Spruill chart and an assessment of the principal drivers of risk to TOC, known or perceived, and for existing programs, an evaluation of actual TOC versus predicted and recommended adjustments.

(6) Dependencies Analysis. Together with the program manager, the program sponsor will provide an assessment of program dependencies, supporting or supported, to the extent the subject program or others may affect capability alignment or program execution.

(7) External Engagement Analysis. In coordination with the Office of Legislative Affairs and Navy Appropriations Matters Office, the program manager and the resource sponsor will review external engagement history (e.g., Office of the Secretary of Defense, Office of Management and Budget, Government Accountability Office, Congress), review past

programmatic actions and why (resourcing or quantity adjustments) and provide the engagement strategy going forward, including anticipated help needed.

(8) Acceleration Analysis. Together with OPNAV N9I and the program manager, the program sponsor will provide the fastest hypothetical initial operating capability based solely upon engineering development (absent resourcing constraints) and then the targeted initial operating capability based upon a balanced resourcing approach (absent resourcing constraints). The program sponsor will then provide an evaluation of initial operating capability timing in the context of programmatic risk and warfighter need; the intent to use acceleration authorities; and whether the program should be considered for accelerated acquisition funding priority, per reference (d).

(9) Other Key Areas. Resource sponsors and program managers should present risks to program success not previously covered and the anticipated support needed to remedy.

5. Responsibilities

a. Board Chair. Unless otherwise directed by the CNO or VCNO, or otherwise recommended by the lead DCNO, DCNO, Warfighting Requirements and Capabilities (CNO N9), or Assistant DCNO, Warfighting Requirements and Capabilities (CNO N9B), will chair the R3B as the CNO's representative. When warranted, CNO N9 will provide a topic summary and recommendation regarding CNO or VCNO (or other DCNO) lead. The two-star NCB will be chaired by OPNAV N9I or Deputy Director, Integrated Warfare (OPNAV N9IB). Any further delegation of Board chair will be approved by the VCNO for the R3B and CNO N9 for the NCB. The chair conducts the Board meeting, adjudicates Board decisions, assigns Board-directed tasking and signs the decision memorandum. For R3Bs that the CNO does not attend, the chair will provide an e-mail after-action to the CNO.

b. CNO N9

(1) Serves as the fleet architect and integrator of warfare systems requirements (procurement, manpower, training, sustainment, safety and modernization) and monitors the affordability of the future naval force.

(2) Maintains responsibility for the overall Board process.

(3) Serves as the primary R3B chair.

c. OPNAV N9I

(1) Executes the future fleet architecture process on behalf of CNO N9 and disseminates and tracks associated warfighting requirements.

(2) Serves as the primary NCB chair.

(3) Serves as CNO N9's executive agent and executive secretary for the Board process.

d. Board Secretary. The Branch Head for Navy, Joint and Urgent Requirements (OPNAV N9IJ) serves as the Board secretary, the administrative lead for vetting Board topics. In this role, the secretary maintains and distributes business rules and briefing templates for a locally developed CNO N9 requirements management handbook, which will include the most recent briefing template and other administrative requirements. In addition, the secretary advises briefers on applicable elements of paragraph 4 above, archives briefs and supporting documents, coordinates attendance and coordinates drafting after action reports and decision memorandums.

e. Board Members. Enclosures (1) and (2) include principal and advisory members. Attendance will be governed by the Board secretary for invited members, including "plus-ones." Requests for additional attendance will be accommodated by the Board secretary based on space availability.

6. Board Process

a. All Board related events will be conducted in a manner that promotes transparency, collaboration and communication. The Board will focus on the capability requirement, the proposed materiel solution, resourcing and programmatic risk.

b. The overall Board process typically begins by formally contacting CNO N9, program sponsors and the executive secretary (OPNAV N9I) or secretary (OPNAV N9IJ). The topic will go through O-6 or GS-15 review resulting in a recommendation to the executive secretary whether an NCB or R3B is appropriate. All echelon 1 or 2 initiated requests will be presented to CNO N9 for adjudication. The vetting process should take no more than 30 days from the initial request, followed by timely Board assignment in the context of the ongoing PPBE process and the urgency of the request. The request will be reviewed through the lens of published business rules.

c. The Board should conclude with any combination of the following actions: Board approval, all or in part; Board disapproval, all or in part; tasking from the Board chair to the sponsor or stakeholders for actions or additional information to support a Board decision; or returning the issue to the lead sponsor organization for a follow-on Board.

d. Board topics may be adjudicated by the Board chair via an electronic R3B or an electronic NCB in lieu of a physical meeting. Electronic boards will be recommended by the executive secretary and endorsed by the Board chair for principal member approval. Absent a response, principal member concurrence will be assumed.

e. Board principal members may call for an executive session with the Board chair and may include selected membership. This session should occur coincident with the R3B or NCB, and preferably immediately before or after.

f. After an R3B, Board actions, dissensions and decisions will be documented via an after-action e-mail to the CNO (if CNO was not serving as chair) and a decision memorandum coordinated by the secretary and signed by the chair, both completed within 1 week of the Board.

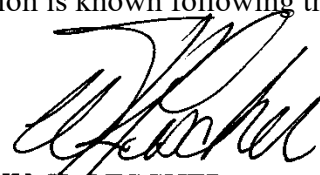
Note: if no decision (third option in subparagraph 6c above), only an e-mail after action report is required.

7. Records Management

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned per the records disposition schedules located on the Department of the Navy Directorate for Administration, Logistics and Operations, Directives and Records Management Division portal page at <https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx>.

b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact the local records manager or the OPNAV Records Management Program (DNS-16).

8. Review and Effective Date. Per OPNAVINST 5215.17A, CNO N9 will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency and consistency with Federal, Department of Defense, Secretary of the Navy and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9. Otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.



W. K. LESCHER
Vice Chief of Naval Operations

Releasability and distribution:

This instruction is cleared for public release and is available electronically only via Department of the Navy Issuances Web site, <https://www.secnav.navy.mil/doni>.

RESOURCES AND REQUIREMENTS REVIEW BOARD MEMBERSHIP

1. R3B Principal Members

- a. DCNO, Manpower, Training and Education (CNO N1);
- b. CNO N2N6;
- c. DCNO, Operations, Plans and Strategy (CNO N3/N5);
- d. DCNO, Fleet Readiness and Logistics (CNO N4);
- e. DCNO, Warfighting Development (CNO N7);
- f. DCNO, Integration of Capabilities and Resources (CNO N8);
- g. CNO N9;
- h. Deputy, Commander, U.S. Fleet Forces Command (USFLTFORCOM);
- i. Deputy, Commander, U.S. Pacific Fleet (USPACFLT);
- j. Principal Military Deputy Assistant Secretary of the Navy (Research, Development and Acquisition);
- k. Deputy Under Secretary of the Navy for Policy;
- l. Department of the Navy Chief Information Officer (DON CIO), as applicable;
- m. Appropriate systems command commander;
- n. Deputy Commandant of the Marine Corps (Programs and Resources);
- o. Deputy Commandant of the Marine Corps (Capability Development and Integration); and
- p. Any DCNO generated by reorganization within OPNAV subsequent to approval of this document.

2. R3B Advisory Members

- a. Director, Personnel Plans and Policies (OPNAV N13);
- b. Director, Information Warfare Integration (OPNAV N2N6F);

- c. Deputy Director, Naval Intelligence (OPNAV N2N6I);
- d. Assistant DCNO for Operations, Plans, and Strategy (OPNAV N3/N5B);
- e. Director, Logistics Programs (OPNAV N41);
- f. Director, Strategic Mobility and Combat Logistics (OPNAV N42);
- g. Director, Energy and Environmental Readiness (OPNAV N45);
- h. Director, Shore Readiness (OPNAV N46);
- i. Director, Strategy, Doctrine & Investment Alignment (OPNAV N72S);
- j. Director, Programming Division (OPNAV N80);
- k. OPNAV N81;
- l. Director, Fiscal Management Division (OPNAV N82/FMB);
- m. Director, Fleet Readiness (OPNAV N83);
- n. Director, Innovation, Technology Requirements and Test and Evaluation/Office of Naval Research (OPNAV N94/ONR);
- o. Director, Special Programs (OPNAV N9SP);
- p. Director, Expeditionary Warfare (OPNAV N95);
- q. Director, Surface Warfare (OPNAV N96);
- r. Director, Undersea Warfare (OPNAV N97);
- s. Director, Air Warfare (OPNAV N98);
- t. OPNAV N9I;
- u. Appropriate Deputy Assistant Secretaries of the Navy (DASNs) and other Assistant Secretaries of the Navy (ASNs), as applicable;
- v. Director, Navy Center for Cost Analysis;
- w. Appropriate program executive officer;

- x. USFLTFORCOM Director, Fleet Capabilities and Force Development (USFLTFORCOM N8/N9);
 - y. USPACFLT Director, Warfare Requirements, Resources and Force Structure (USPACFLT N8);
 - z. Other flag officers or senior executives designated by principal member or the R3B or NCB executive secretary; and
 - aa. Any division director generated by reorganization within OPNAV subsequent to approval of this document.
3. Additional Members. The R3B chair may identify additional membership to ensure proper stakeholder representation (e.g., Director, Navy Staff; Surgeon General of the Navy (CNO N093)).

NAVAL CAPABILITIES BOARD MEMBERSHIP

1. NCB Principal Members

- a. OPNAV N13;
- b. OPNAV N2N6F;
- c. OPNAV N3/N5B;
- d. OPNAV N41;
- e. OPNAV N72S;
- f. OPNAV N80;
- g. OPNAV N81;
- h. Appropriate DASN;
- i. Deputy Under Secretary of the Navy for Policy;
- j. Department of the Navy Chief Information Officer (DON CIO), as applicable;
- k. Assistant Deputy Commandant of the Marine Corps (Programs and Resources);
- l. USFLTFORCOM N8/N9;
- m. USPACFLT N8; and
- n. Any division director generated by reorganization within OPNAV subsequent to approval of this document.

2. NCB Advisory Members

- a. Director, Strategy and Budget Integration (OPNAV N4I);
- b. OPNAV N42;
- c. OPNAV N46;
- d. OPNAV N82/FMB;

- e. OPNAV N83;
 - f. OPNAV N94/ONR;
 - g. OPNAV N9SP;
 - h. OPNAV N95;
 - i. OPNAV N96;
 - j. OPNAV N97;
 - k. OPNAV N98;
 - l. Other ASNs or DASNs, as applicable;
 - m. Appropriate program executive officer;
 - n. Other flag officer or senior executive designated by principal member or the R3B or NCB executive secretary; and
 - o. Any division director generated by reorganization within OPNAV subsequent to approval of this document
3. Additional Members. The NCB chair may identify additional membership to ensure proper stakeholder representation (e.g., Director, Navy Staff; CNO N093).